

### **Amendments to the Claims**

Please amend claims 32, 35-38. The Claim Listing below will replace all prior versions of the claims in the application:

#### **Listing of Claims**

1-31. (Canceled)

32. (Currently amended) A computer readable medium having financial advisor software stored thereon that when executed on a computing device displays an interface comprising:

an application menu;

a market data function menu; and

a display window[[],];

wherein the market data function menu comprises a market data function selection that upon activation displays market data in the display window in real time;

wherein the application menu comprises:

a client information application selection that upon activation presents a display in the display window that enables a user of the financial advisor software to search for and display monitor client account and client transaction information in the display window in real time, including real time information from an investor trading system regarding an active client transaction at the investor trading system;

a research application selection that upon activation presents a display in the display window that enables the user of the financial advisor software to research investments;

a financial planning application selection that upon activation presents a display in the display window that enables the user of the financial advisor software to analyze the impact of the active client transaction and to determine alternative asset allocations and specific investment alternatives;

a broker entry application selection that upon activation presents a display in the display window that enables the user of the financial advisor software to participate intercede in the active client transactions transaction at the investor trading system in real time by entering or correcting

client transaction orders[[,]] through the display based on information obtained from one or more selections of the application menu and the market data function menu

~~wherein the market data function menu comprises:~~

~~a market data function selection that displays market data in the display window in real time,~~

~~wherein the application menu further comprises a research application selection that enables the user of the financial advisor software to research investments,~~

~~wherein the application menu further comprises a financial planning application selection that enables the user of the financial advisor software to make recommendations regarding asset allocations and specific investment alternatives.~~

33. (Previously presented) The computer readable medium of claim 32, further comprising a management application that enables the use of the financial advisor software to report problems in execution of client transactions.

34. (Previously presented) The computer readable medium of claim 32, wherein the client information application comprises a client inquiry feature selection that enables the user of the financial advisor computing device to search for and display in the display window information that includes client account balances, client account statements, client transaction confirmations, and client tax statements.

35. (Currently amended) A network based financial services system comprising:  
computing devices having financial advisor software stored thereon that when executed displays an interface operable on the computing devices;

one or more servers connected directly or indirectly to the computing devices via the Internet having access to a plurality of applications and a plurality of market data functions, at least one of the one or more servers receiving real time information from an investor trading system regarding an active client transaction at the investor trading system and storing the real time information in at least one database;

wherein the interface comprises:

an application menu;

a market data function menu; and

a display window, ~~and~~ ;

wherein the market data function menu comprises a market data function selection that upon activation displays market data in the display window in real time;

wherein the application menu comprises:

a client information application selection that upon activation presents a display in the display window that enables a user of the financial advisor software to search for and display monitor client account information and client transaction information stored in the at least one database in the display window in real time, including the real time information from the investor trading system regarding the active client transaction at the investor trading system;

a research application selection that upon activation presents a display in the display window that enables the user of the financial advisor software to research investments;

a financial planning application selection that upon activation presents a display in the display window that enables the user of the financial advisor software to analyze the impact of the active client transaction and to determine alternative asset allocations and specific investment alternatives;

a broker entry application selection that upon activation presents a display in the display window that enables the user of the financial advisor software to participate intercede in the active client transactions transaction at the investor trading system in real time by entering or correcting client transaction orders[[,]] through the display based on information obtained from one or more selections of the application menu and the market data function menu

~~wherein the market data function menu comprises:~~

~~a market data function selection that displays market data in the display window in real time;~~

~~wherein the application menu further comprises a research application selection that enables the user of the financial advisor software to research investments~~

~~and a financial planning application selection that enables the user of the financial advisor software to make recommendations regarding asset allocations and specific investment alternatives.~~

36. (Currently amended) The system of claim ~~[[37]]~~ 35, further comprising a management application that enables the use of the financial advisor software to report problems in execution of client transactions.

37. (Currently amended) The system of claim ~~[[37]]~~ 35, wherein the client information application comprises a client inquiry feature selection that enables the user of the financial advisor computing device to search for and display in the display window information that includes client account balances, client account statements, client transaction confirmations, and client 1099 statements.

38. (Currently amended) The system of claim ~~[[37]]~~ 35, wherein an authentication system is connected to at least one of the one or more servers, the authentication system comprising:

- a controller;
- a shell initialization module;
- a browser interface launch module;
- a password module;
- and a move/add/change function;

one or more databases storing the level of entitlement of the user to the client account and the client transaction information.